

010804

16558 U.S. PTO

Express Mail Number: EL984538975US

Date Deposited: 01/08/2004

APPROVED  
for  
PTO DEPOSIT ACCOUNT CHARGE  
ACCOUNT #04-1700

PTO/SB/05 (11-00)

Approved for use through 10/31/2002. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

|  |                               |  |
|--|-------------------------------|--|
| <b>UTILITY<br/>PATENT APPLICATION<br/>TRANSMITTAL</b><br><br>(Only for new nonprovisional applications under 37 CFR 1.53(b)) | <b>Attorney Docket No.</b>    | 5820.645   |
|  | <b>First Inventor</b>         | Daniel E. Resasco et al.   |
|  | <b>Title</b>                  | METALLIC CATALYTIC PARTICLE FOR PRODUCING SINGLE-WALLED CARBON NANOTUBES |
|  | <b>Express Mail Label No.</b> | EL984538975US  |

|   |  |
|---|--|
| <b>APPLICATION ELEMENTS</b><br>See MPEP chapter 600 concerning utility patent application contents. | <b>ADDRESS TO:</b> Mail Stop Patent Appl., Comm. for Patents<br>PO Box 1450<br>Alexandria, VA 22313-1450 |
|---|--|

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 38]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description - Redline Specification \_\_\_\_ pgs
  - Claim(s) - Clean Specification \_\_\_\_ pgs
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 11]
5. Oath or Declaration [Total Pages 5]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

**ACCOMPANYING APPLICATION PARTS**

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney \*SEE BELOW
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: SEE BELOW

18. This application is:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

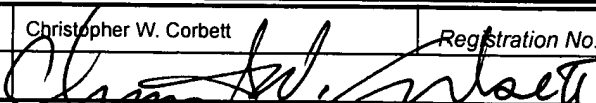
Examiner: S. Hendrickson

of prior application No.: 09/988,847

Group Art Unit: 1754

☒ As a CON, DIV, or CIP, this application contains one or more changes to (1) the specification; (2) drawings; or (3) claims in the above-identified prior application. A red-line version of the application showing these changes will be made available to the examiner upon request.**19. CORRESPONDENCE ADDRESS**☒ Customer Number or Bar Code Label 30589  
(Insert Customer No. or Attach bar code label here) or ☐ Correspondence address below

|                |                                 |                  |                |                 |                |
|----------------|---------------------------------|------------------|----------------|-----------------|----------------|
| <b>Name</b>    | Dunlap, Coddling & Rogers, P.C. |                  |                |                 |                |
|                | P. O. Box 16370                 |                  |                |                 |                |
| <b>Address</b> | Attn: Christopher W. Corbett    |                  |                |                 |                |
| <b>City</b>    | Oklahoma City                   | <b>State</b>     | OK             | <b>Zip Code</b> | 73113          |
| <b>Country</b> | USA                             | <b>Telephone</b> | (405) 607-8600 | <b>Fax</b>      | (405) 607-8686 |

|                          |  |  |        |
|--------------------------|--|--|--------|
| <b>Name (Print/Type)</b> | Christopher W. Corbett   | <b>Registration No. (Attorney/Agent)</b> | 36,109 |
| <b>Signature</b>         |  | <b>Date</b>                              | 1/8/04 |

SEND TO: Mail Stop Patent App  
P.O. Box 1450  
Alexandria, VA 22313-1450

\*The Assignment for this case is the same as recorded in the prior application at Reel 10413, frame 0730 as well as the Power of Attorney and 37 CFR 3.73(b) Statement.

17) 1. Utility Patent Application Transmittal (1 page); 2. Fee Transmittal (1 page) Authorizing the Commissioner to charge indicated fees of \$473.00 (\$385.00 for Utility Filing Fee and \$88.00 for extra claim fee) or any additional fee required under 37 C.F.R. 1.16 and 1.17 and/or credit any overpayments to Deposit Account Name Dunlap, Coddling &amp; Rogers, P.C.; 3. Patent Application Fee Determination Record (1 page); 4. Copy of Notice of Filing Continuation Application (1 page); 5. Complete Application for Publication (38 pages) (Continuation of USSN 09/988,847, filed 11/19/2001) including: (A) Specification (32 pages); (B) 25 Claims (5 pages); (C) Abstract (1 page); (D) 5 pages of Combined Declaration and Power of Attorney (from prior application); and (E) 11 sheets of formal drawings with labels identifying indicia; 6. Information Disclosure Statement (3 pages); 7. Form 1449 (modified) (8 pages); 8. Cited references not cited in prior applications; 9. Return receipt postcard.

031431 U.S. PTO  
10/754002

010804

APPROVED

Express Mail No.: EL984538975US  
Date Deposited: 01/08/2004PTO DEPOSIT ACCOUNT CHARGE  
ACCOUNT NO. 04-1700PTO/SB/17 (10-03)  
Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE**FEE TRANSMITTAL  
for FY 2004**

Patent fees are subject to annual revision.

☒ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 473

**Complete if Known**

|                      |                          |
|----------------------|--------------------------|
| Application Number   | Not Yet Assigned         |
| Filing Date          | Herewith                 |
| First Named Inventor | Daniel E. Resasco et al. |
| Examiner Name        | S. Hendrickson           |
| Art Unit             | 1754                     |
| Attorney Docket No.  | 5820.645                 |

**METHOD OF PAYMENT (check all that apply)**
☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None
☒ Deposit Account:Deposit  
Account  
Number  
Deposit  
Account  
Name

04-1700

Dunlap, Coddling & Rogers, P.C.  
Customer No. 30589

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments  
☒ Charge any additional fee(s) during the pendency of this application  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.
**FEE CALCULATION****1. BASIC FILING FEE**

| Large Entity        |          | Small Entity |          | Fee Description        | Fee Paid        |
|---------------------|----------|--------------|----------|------------------------|-----------------|
| Fee Code            | Fee (\$) | Fee Code     | Fee (\$) |                        |                 |
| 1001                | 770      | 2001         | 385      | Utility filing fee     | 385             |
| 1002                | 340      | 2002         | 170      | Design filing fee      |                 |
| 1003                | 530      | 2003         | 265      | Plant filing fee       |                 |
| 1004                | 770      | 2004         | 385      | Reissue filing fee     |                 |
| 1005                | 160      | 2005         | 80       | Provisional filing fee |                 |
| <b>SUBTOTAL (1)</b> |          |              |          |                        | <b>(\$ 385)</b> |

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

| Total Claims       |    | Extra Claims |   | Fee from below |    | Fee Paid |      |
|--------------------|----|--------------|---|----------------|----|----------|------|
|                    | 25 | ** =         | 5 | X              | 9  | =        | \$45 |
| Independent Claims | 4  | ** =         | 1 | X              | 43 | =        | \$43 |
| Multiple Dependent |    |              |   |                |    | =        | \$0  |

| Large Entity |          | Small Entity |          | Fee Description  |
|--------------|----------|--------------|----------|--|
| Fee Code     | Fee (\$) | Fee Code     | Fee (\$) |  |
| 1202         | 18       | 2202         | 9        | Claims in excess of 20                                     |
| 1201         | 86       | 2201         | 43       | Independent claims in excess of 3                          |
| 1203         | 290      | 2203         | 145      | Multiple dependent claim, if not paid                      |
| 1204         | 86       | 2204         | 43       | ** Reissue independent claims over original patent         |
| 1205         | 18       | 2205         | 9        | ** Reissue claims in excess of 20 and over original patent |

**SUBTOTAL (2)** (\$ 88

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

| Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|----------|----------|----------|----------|--|----------|
| 1051     | 130      | 2051     | 65       | Surcharge - late filing fee or oath  |          |
| 1052     | 50       | 2052     | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
| 1053     | 130      | 1053     | 130      | Non-English specification  |          |
| 1812     | 2,520    | 1812     | 2,520    | For filing a request for ex parte reexamination                            |          |
| 1804     | 920*     | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
| 1805     | 1,840*   | 1805     | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
| 1251     | 110      | 2251     | 55       | Extension for reply within first month                                     |          |
| 1252     | 420      | 2252     | 210      | Extension for reply within second month                                    |          |
| 1253     | 950      | 2253     | 475      | Extension for reply within third month                                     |          |
| 1254     | 1,480    | 2254     | 740      | Extension for reply within fourth month                                    |          |
| 1255     | 2,010    | 2255     | 1,005    | Extension for reply within fifth month                                     |          |
| 1401     | 330      | 2401     | 165      | Notice of Appeal   |          |
| 1402     | 330      | 2402     | 165      | Filing a brief in support of an appeal                                     |          |
| 1403     | 290      | 2403     | 145      | Request for oral hearing   |          |
| 1451     | 1,510    | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
| 1452     | 110      | 2452     | 55       | Petition to revive - unavoidable   |          |
| 1453     | 1,330    | 2453     | 665      | Petition to revive - unintentional   |          |
| 1501     | 1,330    | 2501     | 665      | Utility issue fee (or reissue)   |          |
| 1502     | 480      | 2502     | 240      | Design issue fee   |          |
| 1503     | 640      | 2503     | 320      | Plant issue fee  |          |
| 1460     | 130      | 1460     | 130      | Petitions to the Commissioner  |          |
| 1807     | 50       | 1807     | 50       | Processing fee under 37 CFR 1.17(q)  |          |
| 1806     | 180      | 1806     | 180      | Submission of Information Disclosure Stmt                                  |          |
| 8021     | 40       | 8021     | 40       | Recording each patent assignment per property (times number of properties) |          |
| 1809     | 770      | 2809     | 385      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 1810     | 770      | 2810     | 385      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 1801     | 770      | 2801     | 385      | Request for Continued Examination (RCE)                                    |          |
| 1802     | 900      | 1802     | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

**SUBTOTAL (3)** (\$ 0**SUBMITTED BY**

Name (Print/Type)

Christopher W. Corbett

Registration No.  
(Attorney/Agent)

36,109

(Complete if applicable)

Telephone (405) 607-8600

Signature

Date

01/08/2004

Mail Stop Patent Application  
Commissioner for Patents  
PO Box 1450, Alexandria, VA 22313-1450

EL984538992US

PATENT

DEPOSITED ON: January 8, 2004

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application N . : 09/988,847 Confirmation No. : 9377  
Applicant(s) : Daniel E. Resasco, Boonyarach Kitiyanan,  
Jeffrey H. Harwell and Walter Alvarez  
Filed : 11/19/2001  
TC/Au : 1754  
Examiner : S. Hendrickson  
Title : METALLIC CATALYTIC PARTICLE FOR  
PRODUCING SINGLE-WALED CARBON NANOTUBES

COPY

Docket No. : 5820.615  
Customer No. : 30589

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**NOTIFICATION OF FILING OF CONTINUING  
OR DIVISIONAL APPLICATION**

Notification is hereby being made of the filing of a:

☒ continuation (Attny. Dkt. No.: 5820.645)

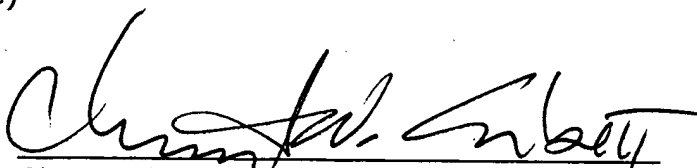
☐ continuation-in-part

☐ divisional

application for this case

☒ concurrently herewith

☐ on \_\_\_\_\_  
(date)



Christopher W. Corbett, Reg. No. 36,109  
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Agent for Applicant(s)